

Department of Health and Human Services

Substance Abuse and Mental Health Services Administration

Drug Free Communities Support Program – SP 05-002-New and SP 05-002-Renewal (Initial Announcement)

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.276

Key Dates:

Application Deadline	March 11, 2005 (new) April 5, 2005 (for competing renewal applicants)
Intergovernmental Review (E.O. 12372)	Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/SSA Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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I. FUNDING OPPORTUNITY DESCRIPTION

1. INTRODUCTION

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Substance Abuse and Mental Health Services Administration (SAMHSA) announce the availability of funds for Drug Free Communities Support Program (DFCSP) grants. DFCSP is a collaborative initiative sponsored by ONDCP and SAMHSA in order to:

- reduce substance abuse among youth;
- help community coalitions strengthen collaboration;
- enhance intergovernmental collaboration, cooperation and coordination;
- enable communities to conduct data-driven, research-based prevention planning, and
- provide communities with technical assistance, guidance, and financial support.

ONDCP and SAMHSA invite eligible applicants to review this announcement for DFCSP grants. Eligibility information is provided in Section III on page 8, and award information is provided in Section II on page 7.

2. PURPOSE

The DFCSP has two major goals:

- to reduce substance abuse among youth and, over time, among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse. (Substances include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol and tobacco, where their use is prohibited by Federal, State or local law.) *Note: DFCSP projects must focus on multiple drugs of abuse, including those listed above. When the term “drug” or “substance” is used in this funding announcement, it is intended to include all of the above.*
- to establish and strengthen collaboration among communities, private nonprofit agencies, and Federal, State, local and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth.

The objectives of the program include the following:

- serve as a catalyst for increased citizen participation and greater collaboration among all sectors of and organizations within a community;
- enhance community efforts to promote and deliver effective substance abuse prevention strategies;
- assess the effectiveness of community substance abuse prevention initiatives directed toward youth; and

- provide information about effective substance abuse prevention initiatives that can be replicated in other communities.

3. REQUIRED ACTIVITIES

In order to achieve the goals and objectives described above, the DFCSP supports community-based coalitions as an effective approach to planning and implementing effective and comprehensive substance abuse prevention interventions. DFCSP coalitions must use the Strategic Prevention Framework (SPF) as the organizing framework for the operation of the coalition by employing the SPF's five steps in on-going analysis and decision-making. The five steps of the SPF are: 1) needs assessment, 2) capacity building, 3) planning, 4) implementation, and 5) evaluation. This five-step process is known to promote youth development, reduce risk-taking behaviors, build assets and resilience, and prevent problem behaviors across the life span.

For additional information about how to implement the SPF as an organizing framework for decision-making in a community-based coalition, see Section V-1, "Evaluation Criteria" on page 27.

SAMHSA and ONDCP understand that coalitions differ in the extent to which they have applied the SPF process to their operations and decision-making processes. Applicants must provide detailed descriptions of their results in assessing needs within the community, determining prevention capacity, and developing a strategic plan. Applications for new grants will be reviewed based on the applicant coalition's stage of development and the extent to which the coalition has applied the five-step SPF process to their planning and decision-making processes. Competing renewal applications will be reviewed based on the coalition's progress in implementing the SPF and achieving the goals and objects of the DFCSP.

4. BACKGROUND

The Drug-Free Communities Act (P.L. 105-20) was signed into law on June 27, 1997. The Act provides financial assistance and support to community coalitions to carry out the mission of reducing substance abuse among the nation's youth. On December 14, 2001, P.L. 107-82, 115 Stat. 814 (2001), reauthorized the program for 5 years.

The Drug-Free Communities Act builds on the documented success of community antidrug coalitions in developing and implementing comprehensive, long-term strategies to reduce substance abuse among youth on a sustained basis.

Since 1998, 958 DFCSP grants have been awarded, with an additional 70 expected in FY 2005. The program sites that have been awarded grants represent a cross-section of projects from every region in the nation and include rural, urban, suburban, and tribal communities. A list of the FY 1999, 2000, 2001, 2002 and 2003 grantees and descriptions of their projects can be found on the DFCSP web site (www.dfc.samhsa.gov). A list FY 2004 grantees is also available on the website, although their program descriptions are not yet available.

5. DATA AND PERFORMANCE MEASUREMENT

The Government Performance and Results Act of 1993 (P.L.103-62, or “GPRA”) requires all Federal agencies to set program performance targets and report annually on the degree to which the previous year’s targets were met.

Agencies are expected to evaluate their programs regularly and to use results of these evaluations to explain their successes and failures and justify requests for funding.

To meet the GPRA requirements, SAMHSA must collect performance data (i.e., “GPRA data”) from grantees. Grantees are required to report these GPRA data to SAMHSA on a timely basis.

Specifically, DFCSP grantees will be required to provide data on the following measures to SAMHSA on an annual basis:

- Age of onset of any drug use (including alcohol, marijuana and tobacco);
- Frequency of use in the past 30 days (including alcohol, marijuana and tobacco);
- Perception of risk or harm (including alcohol, marijuana and tobacco); and
- Perception of disapproval of use by peers and adults (including alcohol, marijuana and tobacco).

Applicants must demonstrate their ability to collect and report on these measures in their applications.

Applicants should be aware that, if they receive a DFCSP grant award, they will be required to report additional data to SAMHSA and ONDCP for the DFCSP National Evaluation. These data elements are currently under development. DFC grantees will utilize a web-based data system, SAMHSA’s Prevention Platform, for reporting their required data. Within this web-based system, grantees will report their data directly into the new Program Monitoring and Measurement System (PMMS). Users of the system will be provided with unique login access privileges to the PMMS. The PMMS will link directly to the tools in the Prevention Platform that provide assistance and instructions in using and reporting on the data the coalition collects. The main components of the PMMS are organized around the five main modules in the Prevention Platform – Assessment, Capacity, Planning, Implementation, and Evaluation – conforming to SAMHSA’s Strategic Prevention Framework.

The terms and conditions of the grant award will specify the data to be submitted and the schedule for submission. Grantees will be required to adhere to these terms and conditions of award.

6. EVALUATION

DFCSP grantees are required to perform evaluations of their projects. Although the local evaluation requirements of DFCSP coalitions are limited, applicants must describe their evaluation plans in their applications. The evaluation should be designed to provide regular feedback to the coalition to improve coalition performance. The evaluation must include both process and outcome components, which measure change relating to project goals and objectives over time compared to baseline information.

Applicants must consider these evaluation requirements when preparing the project budget.

Process components should address issues such as:

- How closely did the coalition and its members execute the plan and meet the timelines?
- What types of deviation from the plan occurred?
- What impact did the deviations have on the objectives of the coalition?

Outcome components should address issues such as:

- What was the impact of the program on the four core measures of the DFCSP?
- What program/contextual factors were associated with outcomes?
- What individual factors were associated with outcomes?

DFCSP grantees also must participate in a national cross-site evaluation of the DFCSP, which is intended to measure the progress and development of the coalitions. Applicants must explicitly state in their applications that they will participate in this cross-site evaluation.

7. GRANTEE MEETINGS

Each grantee is required to send a minimum of two people (including the Project Director) to a 3-day New Grantee Training Workshop in Washington, D.C. in the first year of award. Grantees are also required to send a minimum of two people (including the Project Director) to a 2-day meeting in Washington, DC each following year. The application must include funding for this travel in your budget. Other travel for staff or volunteer training purposes is permitted.

8. PRE-APPLICATION TECHNICAL ASSISTANCE

Potential applicants for the DFCSP program are strongly encouraged to read this funding announcement thoroughly and follow all instructions carefully. A glossary defining key terms referenced throughout this announcement is located on the DFCSP web site (www.dfc.samhsa.gov). SAMHSA and ONDCP will hold five regional workshops to provide assistance, training and technical support for submitting applications. The workshops will be held in the following locations:

- Washington, DC, on January 14, 2005;
- Charlotte, NC on January 18, 2005;
- Los Angeles, CA on January 25, 2005;

- Chicago, IL on January 27, 2005; and
- Oklahoma City, OK on February 1, 2005.

To learn more about the workshops, access the DFCSP web site (www.dfc.samhsa.gov).

II. AWARD INFORMATION

1. AWARD AMOUNT

It is expected that approximately \$70 million will be available for approximately 700 DFCSP awards including new DFCSP awards as well as competing renewal awards.

New DFCSP Awards: New awards will be made to applicants who are not current DFCSP grantees. Applicants for new awards may request project periods of up to 5 years. There are three instances in which you should apply as **a new applicant**. The first instance is if you have never received DFCSP funding. In this case, you are eligible to apply for a project period up to 5 years. The second instance is, if you previously received DFCSP funding, but you have had a lapse in that funding for some reason. In this case, although you must apply as a new applicant, the year for which you are applying to receive funds will be determined based on the number of years of DFCSP funding you have received. (For example, if your first year of funding was in FY2003 [year 1] but you did not receive DFCSP funding in 2004, you are now applying for year 2 funding in FY2005.) The third instance is if you have already received 5 years of funding and are now applying for a 6th year. In this case, you are considered a new applicant for a second cycle of DFCSP funding, and you are eligible to apply for a second project period of up to 5 years.

All applicants must clearly state in the Project Information Summary the program award year for which they are applying. The maximum allowable award for new DFCSP grants is \$100,000 per year in total costs (direct and indirect). *Former DFCSP grantees whose grant projects have ended and current DFCSP grantees who received their initial DFCSP awards in FY 2000 may apply for new DFCSP grant awards.*

Competing Renewal DFCSP Awards: Competing renewal awards will be made to current DFCSP grantees who received their initial awards in FY 2001, FY 2002, FY 2003 or FY 2004. The maximum allowable award for competing renewal DFCSP awards is \$100,000 per year in total costs (direct and indirect). Applicants who are current DFCSP grantees may apply for the following project periods:

- Grantees who received their initial DFCSP awards in **FY 2001** may request a project period of up to **one** year.
- Grantees who received their initial DFCSP awards in **FY 2002** may request a project period of up to **two** years.
- Grantees who received their initial DFCSP awards in **FY 2003** may request a project period of up to **three** years.
- Grantees who received their initial DFCSP awards in **FY 2004** may request a project period of up to **four** years.

Proposed budgets cannot exceed the allowable amount for any year of the proposed project. Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, timely submission of required data and reports, and assurance of meeting the matching funds requirements.

All applicants must clearly state the program award year for which you are applying.

2. FUNDING MECHANISM

DFCSP awards will be made as grants.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

DFCSP grant funds are intended to support community-based coalitions. According to the Community Anti-Drug Coalitions of America (CADCA), “A coalition is a formal arrangement for cooperation and collaboration between groups or sectors of a community, in which each group retains its identity but all agree to work together toward a common goal of building a safe, healthy, and drug-free community.”

To be eligible for a DFCSP grant, a coalition must meet the following requirements:

- The coalition must be an organization legally eligible to apply for a grant or must make arrangements with an organization that will apply for the grant on behalf of the coalition and serve as the legal and fiscal agent for the grant. That is, a single organization (i.e., the coalition or its legal/fiscal agent) must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements. Legal/fiscal agents acting on behalf of a coalition may be domestic public and private non-profit entities, such as State, local or tribal governments; public or private universities and colleges; professional associations, voluntary organizations, self-help groups, consumer and provider services-oriented constituency groups; community- and faith-based organizations; and tribal organizations.
- The coalition must have as part of its principal mission the goal of reducing substance abuse among youth. This must be clearly stated in the coalition’s formal mission statement.
- The coalition’s goals and objectives must target multiple drugs and address the two major goals of the DFCSP (see Section I-2, Purpose, on page 3). SAMHSA/ONDCP will consider the information provided by applicants in the Project Introduction Section of their Project Narrative in assessing whether an applicant has met this requirement.
- The coalition must demonstrate that its members have worked together on substance abuse prevention/reduction initiatives for a period of not less than 6 months before submitting its application. This must be demonstrated through the submission of two sets of meeting minutes. In order to establish that the coalition has been in existence for the

required length of time, at least one set of minutes must reflect a meeting held prior to September 2004.

- The coalition's meeting minutes must demonstrate that it has substantial involvement and participation from its membership, as well as from other volunteer community leaders. It must be clear that the coalition functions as a unique entity and is more than a group of representatives of agencies and organizations or a board of directors of a direct service delivery organization.
- The coalition must have representation from the targeted community and include at least one member/representative from each of the following sectors:
 - youth (meaning young persons themselves, not an adult representing youth);
 - parents;
 - business community;
 - media;
 - schools;
 - youth-serving organizations;
 - law enforcement agencies;
 - religious or fraternal organizations;
 - civic and volunteer groups;
 - healthcare professionals (especially from the behavioral health field);
 - State, local and/or tribal governmental agencies with expertise in the field of substance abuse (including, if applicable, the State agency with primary authority for addressing substance abuse and representative(s) from a local substance abuse treatment agency and mental health); and
 - Other organizations involved in reducing substance abuse, as appropriate.

A coalition member is defined as a representative of the community who participates in regularly scheduled coalition management and/or planning meetings and is an active participant and contributor to the coalition's activities, events, and strategic planning. A sponsor/supporter is not necessarily the same as an active coalition member. For purposes of this application, an individual coalition member may not represent more than one of the above categories.

Applicants must submit documentation in Appendix 4 (Coalition Supporting Documentation) that they meet the above requirements. Applicants must include the following information in that appendix:

- mission statement of the coalition;
- roster of coalition members--the roster must show the sector each coalition member represents, describe each member's contribution to the work of the coalition, and identify the chair of the coalition, and rosters may be submitted as shown in the sample in Appendix C (Sample Coalition Roster) of this announcement;
- one-page organization chart of staff.

- minutes of at least two recent meetings of the coalition, at least one of which was held before September 2004.
- memoranda of understanding (MOUs) between the applicant and key coalition members/organizations that will contribute substantially to achieving the goals and objectives of the coalition. Applicants must submit a copy of the MOU(s) listing the name of each signer. [If similar MOUs were signed by multiple parties, please submit one copy of the MOU with a complete list of the signers.] *The applicant must certify that a signed hardcopy of the originals will be maintained by the coalition.* A sample MOU can be found on the DFCSP web site (www.dfc.samhsa.gov).

Statewide substance abuse prevention coalitions may apply for a DCSP grant, provided they meet all the criteria specified above.

No coalition or fiscal agent may submit more than one application under this funding announcement. Coalitions may not serve the same geographic area, unless both coalitions have clearly described their plans for collaboration in their applications and each coalition has independently met the above requirements.

2. COST SHARING

As required in the DFCSP authorizing legislation, DFCSP grantees must demonstrate that they have received matching funds from other, non-Federal sources. Applicants for DFCSP must provide evidence in the application that the coalition will receive and expend non-Federal matching funds as required. Applicants must itemize the match separately in the budget worksheet and explain the match separately in the budget justification. (See the sample budget and justification provided in Appendix D of this announcement.)

For grantees that are in their first cycle of DFCSP funding (i.e., grantees that have received DFCSP funds for less than 5 years), awards are limited to the amount of non-Federal funds (i.e., matching fund) that a grantee provides. That is, a dollar-for-dollar match of the Federal grant is required (i.e., 100%). This means that a grantee receiving a \$100,000 DFC grant is required to have an additional \$100,000 of support from other, non-Federal sources for each year that it is funded. The Federal support requested and the non-Federal match do not need to be equivalent for each individual budget line item. For example, a request for \$2,000 in Federal support for travel does not need to be equaled by a \$2,000 non-Federal match for travel, as long as the total non-Federal match is the same as the total requested Federal support.

For grantees that are in their second cycle of funding (i.e., grantees that have been funded for one DFC grant cycle of 5-years and are now applying for funds for a sixth year or beyond), the DFCSP authorizing statute limits awards to 80% of the non-Federal funds supplied by the grantee (up to the maximum award amount) in years 7 and 8, and 67% of the non-Federal funds supplied by the grantee (up to the maximum award amount) in years 9 and 10 of the project. This translates into the following “matching” requirement:

<u>Year of Funding Requested</u>	<u>Matching Requirement</u>
6	100%
7	125%
8	125%
9	150%
10	150%

For example: A grantee receiving the maximum Federal grant award of \$100,000 in years 6 through 8 would be required to have an additional \$100,000 of support from other non-Federal sources in year 6 and an additional \$125,000 of support from other non-Federal sources in years 7 and 8.

In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operations of the coalition. Typical examples include donated office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a voluntary capacity.

Federal funds, including federal funds passed through a State or local government, cannot be used as the match. The only exception to the use of Federal funds as match applies to tribal entities. Tribal entities, identified as such in their application, may use Federal funds appropriated for substance abuse activities through the Bureau of Indian Affairs, the Indian Health Service, or tribal government

3. OTHER

Applications must comply with the following requirements, or they will be screened out and will not be reviewed:

- Applicants must use the PHS 5161-1 application.
- Applicants must follow the submission requirements defined in Section IV-3 of this document.
- Applicants must follow the formatting requirements provided in Section IV-2.3 of this document.

IV. APPLICATION AND SUBMISSION INFORMATION

(To ensure that you have met all submission requirements, a checklist is provided for your use in Appendix A of this document.)

1. ADDRESS TO REQUEST APPLICATION PACKAGE

You may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686. You may also download the required documents from the SAMHSA web site at www.samhsa.gov. Click on "Grants."

Additional materials available on this web site include:

- a technical assistance manual for potential applicants;
- a copy of standard terms and conditions for SAMHSA grants;
- a set of guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- an expanded set of instructions for completing the PHS 5161-1 application.

2. CONTENT AND FORM OF APPLICATION SUBMISSION

2.1 Application Kit

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – This document includes the face page, budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – This document provides instructions for applying for the grant. **(Please note: This document is the RFA; it is very important that you read the entire RFA before beginning to write your application.)**

You must use both of the above documents in completing your application.

SAMHSA is now offering the opportunity for you to submit your application to us in an electronic format. If you would like to apply electronically, see Section IV-2.3, “Application Formatting Requirements,” below.

2.2 Required Application Components

To ensure equitable treatment of all applications, applications must be complete. To be considered complete, your application must include the required ten application components (Face Page, Abstract, Table of Contents, Budget Form, Project Narrative and Supporting Documentation, Appendices, Assurances, Certifications, Disclosure of Lobbying Activities, and Checklist).

- ❑ **Face Page** – Use Standard Form (SF) 424, which is part of the PHS 5161-1. [Note: Beginning October 1, 2003, applicants will need to provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants will be required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy, and it is provided without a charge. To obtain a DUNS number, access the Dun and Bradstreet web site at www.dunandbradstreet.com or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization planning to submit a Federal grant application.

- ❑ **Abstract** – Your total abstract should not be longer than 35 lines. It should briefly summarize the activities that will be implemented to achieve the goals and objectives of the coalition, identify the target population, and specify the geographic area to be served with grant funds. If the coalition receives a DFCSPP award, this abstract will be posted on the DFCSPP web site. It may also be used, if your project is funded, in publications, reporting to Congress, and press releases. A sample abstract is provided in Appendix B of this announcement.
- ❑ **Table of Contents** – Include page numbers for each of the major sections of your application and for each appendix.
- ❑ **Budget Form** – Use SF 424A, which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Appendix D of this announcement. Ensure that your application itemizes your non-Federal matching funds separately from the amount of Federal support you are requesting in the budget worksheet.
- ❑ **Project Narrative and Supporting Documentation** – The Project Narrative is the section where you will describe your project. It consists of a Project Introduction and a narrative organized into Sections A through E. These sections in total may not be longer than 20 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 25, it is 21 pages long, not 20 pages.) More detailed instructions for completing the Project Introduction and each section of the Project Narrative are provided in “Section V—Application Review Information” of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided immediately following your Project Narrative in Sections F through J. There are no page limits for these sections, except for Section I, Biographical Sketches/Job Descriptions.

- *Section F* – Project Information Summary. The applicant must submit a one- to two-page Project Information Summary that includes all of the following information *exactly as defined below*. The information provided in the Project Information Summary will be collected in a DFCSPP grantee database to assist ONDCP and SAMHSA with the administration of the DFCSPP. A template of the Project Information Summary is available on the DFCSPP web site (www.dfc.samhsa.gov).

General Information – Please provide the following general information about the coalition:

- Name of fiscal agent, which is the legal name of applicant;
- Mailing address of fiscal agent (including zip code);
- Name of the coalition;
- Mailing address of the coalition (including zip code);
- Physical address of the coalition (if different);
- Date the coalition was established;
- Indicate whether the coalition is a religious or faith-based organization;

- List drugs addressed by the coalition (including marijuana, alcohol, tobacco, methamphetamine, MDMA [ecstasy], steroids, inhalants, heroin, and any other drugs).
- Indicate whether the coalition received a DFCSP award in FY 1998, FY 1999 or FY 2000, and, if so, provide the grant number of the DFCSP award.
- Amount of FY 2005 funds requested.
- List all of the coalition's other Federal and State funding sources.
- List of any other of the coalition's funding sources (including foundations, fundraising drives, corporate support, and any other funding sources).

Other Contact Information – Please provide contact information for the following individuals (include for each the name, phone number, and email address):

- Official authorized to accept funds on behalf of the coalition;
- Coalition board chair/president;
- Proposed project director of the DFCSP grant; and
- Proposed evaluation contact for the DFCSP grant.

Demographics – Please provide the following information describing the target area served by the coalition.

- Congressional districts(s) served by the coalition.
- Zip code(s) of the target area served by the coalition.
- Geographical boundaries of the target area served by the coalition (i.e., city, county coordinates, street intersections, etc.).
- Total population of the target area served by the coalition.
- Indicate whether the target area served by the coalition is primarily rural, suburban, or urban. Select one based on the following definitions:
 - *Rural* – A rural area is defined as a county with a population of no more than 30,000. If rural, please identify the county(ies) served by the coalition.
 - *Suburban* – A suburban area is defined as (a) urban fringe of a large city – any incorporated place, a Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census; or (b) urban fringe of a midsize city – any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.
 - *Urban* – An urban area is defined as (a) large city – a central city of a MSA or CMSA with a population of at least 250,000; or (b) midsize city – central city of an MSA or CMSA with a population of less than 250,000.
- Indicate whether the coalition serves a federally recognized tribal area.
- Indicate whether the coalition serves an area that is economically disadvantaged (i.e., 20% or more of the children [under 18 years of age] living

in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau).

- *Section G - Literature Citations.* This section must contain complete citations, including titles and all authors, for any literature cited in your application.
- *Section H - Budget Justification, Existing Resources, Other Support.* You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project (i.e., your non-Federal match). All sources of funds to be received for grant purposes must be clearly identified. Be sure to include funds for required travel to grantee meetings (See Grantee Meetings in Section I on page 6 of this document).
- *Section I - Biographical Sketches and Job Descriptions.*
 - Include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less. If the person has not been hired, include a position description and/or letter of commitment with a current biographical sketch from the individual.
 - Include job descriptions for key personnel. Job descriptions should be no longer than 1 page each.
 - Sample sketches and job descriptions are listed on page 22, Item 6 in the Program Narrative section of the PHS 5161-1.
- *Section J - Confidentiality and SAMHSA Participant Protection/Human Subjects.* Section IV-2.4 of this document describes requirements for the protection of the confidentiality, rights and safety of participants in SAMHSA-funded activities. This section also includes guidelines for completing this part of your application.
- **Appendices 1 through 6** – Use only the appendices listed below. If your application includes any appendices not required in this grant announcement, they will not be reviewed or considered. There are no page limitations for the appendices. Do not use appendices to extend or replace any of the sections of the Project Narrative; reviewers will not consider them.
 - *Appendix 1:* Data Collection Instruments/Interview Protocols
 - *Appendix 2:* Sample Consent Forms
 - *Appendix 3:* Letter to the Single State Authority for Substance Abuse (SSA) if applicable; see Section IV-4 of this document
 - *Appendix 4:* Letters of Support, MOUs, and Other Coalition Supporting Documents (see Section III-1, Eligible Applicants, of this document)
 - *Appendix 5:* Coalition Logic Model
 - *Appendix 6:* Sustainability Plan and Budget (this is required only of applications applying for year 8 of DFC funds. See Section VI, 3.3 of this application for requirements for the sustainability plan and budget)

- ❑ **Assurances** – Non-Construction Programs. Applicants must also complete the Assurance of Compliance with SAMHSA Charitable Choice and Regulations Form SMA 170. This form is posted on SAMHSA’s website with the RFA and provided in the application kits available at the SAMHSA Clearinghouse (NCADI).
- ❑ **Certifications** – Use the “Certifications” forms found in PHS 5161-1.
- ❑ **Disclosure of Lobbying Activities** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way.
- ❑ **Checklist** – Use the Checklist found in PHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances and certifications. The checklist is the last page of your application.

2.3 Application Formatting Requirements

Applicants must comply with the following basic application requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed.

- ❑ Information provided must be sufficient for review.
- ❑ Text must be legible. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”)
 - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
 - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- ❑ Paper must be white paper and 8.5 inches by 11.0 inches in size.
- ❑ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”)
 - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the 20-page limit for the Project Narrative.
 - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by 20. This number represents the full page less margins, multiplied by the total number of allowed pages.

- Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, following these guidelines will help reviewers to consider your application.

- ☐ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.
- ☐ Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- ☐ Send the original application and two copies to the mailing address in Section IV-6.1 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

Guidance for Electronic Submission of Applications

SAMHSA is now offering the opportunity for you to submit your application to us either in electronic or paper format. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether you use the electronic or paper format.

To submit an application electronically, you must use the www.Grants.gov apply site. You will be able to download a copy of the application package from www.Grants.gov, complete it off-line, and then upload and submit the application via the Grants.gov site. E-mail submissions will not be accepted.

You must search the Grants.gov site for the downloadable application package, by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of the funding announcement.

You must follow the instructions in the User Guide available at: www.Grants.gov apply site, on the Customer Support tab. In addition to the User Guide, you may wish to use the following sources for help:

- By e-mail: support@Grants.gov
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Customer Support Center is open from 7:00 a.m. to 9:00 p.m. Eastern Time, Monday through Friday.

If this is the first time you have submitted an application through Grants.gov, you must complete four separate registration processes before you can submit your application. Allow at least **two weeks** (10 business days) for these registration processes, prior to submitting your application. The processes are: DUNS Number registration, Central Contractor Registry (CCR) registration, Credential Provider registration, and Grants.gov registration.

It is strongly recommended that you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.). If you do not have access to Microsoft Office products, you may submit a PDF file. Directions for creating PDF files can be found on the Grants.gov Web site. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described above, and in Appendix A of this announcement. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word. These requirements help to ensure the accurate transmission and equitable treatment of applications.

- *Text legibility:* Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of one inch each. Adhering to these standards will help to ensure the accurate transmission of your document. If the type size in the Project Narrative of an electronic submission exceeds 15 characters per inch, or the text exceeds 6 lines per vertical inch, SAMHSA will reformat the document to Times New Roman 12, with line spacing of single space. Please note that this may alter the formatting of your document, especially for charts, tables, graphs, and footnotes.
- *Amount of space allowed for Project Narrative:* The Project Narrative for an electronic submission may not exceed 10,300 words. **Any part of the Project Narrative in excess of the word limit will not be submitted to review.** To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed in Section IV-3 of this announcement. The paper submission must be clearly marked: “Back-up for electronic submission.” The paper submission must conform with all requirements for non-electronic submissions. If both electronic and back-up paper submissions are received by the deadline, the electronic version will be considered the official submission.

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number.

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424), the assurances (SF 424B), and the certifications, and hard copy of any other required documentation that cannot be submitted

electronically. **You must reference the Grants.gov tracking number for your application, on these documents with original signatures, and send the documents to the following address. The documents must be received at the following address within 5 business days of your electronic submission.** Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: Electronic Applications

For other delivery service (DHL, Falcon Carrier, Federal Express, United Parcel Service):

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**
ATTN: Electronic Applications

If you require a phone number for delivery, you may use (240) 276-1199.

2.4 SAMHSA Confidentiality and Participant Protection Requirements and Protection of Human Subjects Regulations

Applicants must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations, as they relate to the proposed project, in Section J of the application, using the guidelines provided below. Problems with confidentiality, participant protection, and protection of human subjects identified during peer review of the application may result in the delay of funding.

Confidentiality and Participant Protection:

All applicants must describe how they will address the requirements for each of the following elements relating to confidentiality and participant protection. If a requirement is not relevant to the proposed project, applicants should state that the requirement is not relevant and explain why it is not relevant.

1. Protect Clients and Staff from Potential Risks

- Identify and describe any foreseeable physical, medical, psychological, social, and legal risks or potential adverse effects as a result of the project itself or any data collection activity.

- Describe the procedures you will follow to minimize or protect participants against potential risks, **including risks to confidentiality**.
- Identify plans to provide guidance and assistance in the event there are adverse effects to participants.
- Where appropriate, describe alternative treatments and procedures that may be beneficial to the participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

2. Fair Selection of Participants

- Describe the target population(s) for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.
- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- Explain the reasons for including or excluding participants.
- Explain how you will recruit and select participants. Identify who will select participants.

3. Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.).
- State how volunteer participants will be told that they may receive service interventions even if they do not participate in or complete the data collection component of the project.

4. Data Collection

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.

- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
- Provide in **Appendix 1, “Data Collection Instruments/Interview Protocols,”** copies of all available data collection instruments and interview protocols that you plan to use.

5. Privacy and Confidentiality

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.
- Describe:
 - How you will use data collection instruments.
 - Where data will be stored.
 - Who will or will not have access to information.
 - How the identity of participants will be kept private, for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of **Title 42 of the Code of Federal Regulations, Part 2.**

6. Adequate Consent Procedures

- List what information will be given to people who participate in the project. Include the type and purpose of their participation. Identify the data that will be collected, how the data will be used and how the data will be kept private.
- State:
 - Whether or not their participation is voluntary.
 - Their right to leave the project at any time without problems.
 - Possible risks from participation in the project.
 - Plans to protect clients from these risks.
- Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

NOTE: If the project poses potential physical, medical, psychological, legal, social or other risks, you **must** obtain written informed consent.

- Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask

prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?

- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in **Appendix 2, “Sample Consent Forms”**, of your application. If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, that the participant may not end involvement with the project, or that the participant releases your project or its agents from liability for negligence.

- Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?
- Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

7. Risk/Benefit Discussion

Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

Protection of Human Subjects Regulations

SAMHSA expects that most grantees funded under the DFCSP will not be required to comply with the Protection of Human Subjects Regulations (45 CFR 46). However, in some instances, the project-specific evaluation design proposed by the grantee may require compliance with these regulations.

Applicants whose projects must comply with the Protection of Human Subjects Regulations must describe fully the process for obtaining Institutional Review Board (IRB) approval. While IRB approval is not required at the time of grant award, these applicants will be required, as a condition of award, to provide the documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP) and that IRB approval has been received prior to enrolling any clients in the proposed project.

General information about Protection of Human Subjects Regulations can be obtained on the web at <http://hhs.gov/ohrp>. You may also contact OHRP by e-mail (ohrp@osophs.dhhs.gov) or by phone (301-496-7005). SAMHSA-specific questions related to Protection of Human Subjects Regulations should be directed to the program contact listed in Section VII of the GFA.

3. SUBMISSION DATES AND TIMES

The deadline for submission of DFCSP is:

- *For new applicants:* March 11, 2005
- *For competing renewal applicants:* April 5, 2005.

Hand carried applications will not be accepted. Applications may be shipped using only DHL, Falcon Carrier, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).

Your application must be received by the application deadline, or you must have proof of its timely submission as specified below.

- For packages submitted via DHL, Falcon Carrier, Federal Express (FedEx), or United Parcel Service (UPS), timely submission shall be evidenced by a delivery service receipt indicating the application was delivered to a carrier service at least 24 hours prior to the application deadline.
- For packages submitted via the United States Postal Service (USPS), proof of timely submission shall be a postmark not later than 1 week prior to the application deadline, and the following upon request by SAMHSA:
 - proof of mailing using USPS Form 3817 (Certificate of Mailing), or
 - a receipt from the Post Office containing the post office name, location, and date and time of mailing.

You will be notified by postal mail that your application has been received.

Applications not meeting the timely submission requirements above will not be considered for review. Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. Allow sufficient time for your package to be delivered.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application, and that results in the designated office not receiving your application in accordance with the requirements for timely submission, it will cause the application to be considered late and ineligible for review.

SAMHSA will not accept or consider any applications sent by facsimile.

4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

Executive Order 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, sets up a system for State and local review of applications for Federal financial assistance. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and can be downloaded from the Office of Management and Budget (OMB) web site at www.whitehouse.gov/omb/grants/spoc.html.

- Check the list to determine whether your State participates in this program. You **do not** need to do this if you are a federally recognized Indian tribal government.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
 Office of Program Services
 Substance Abuse and Mental Health Services Administration
 Room 3-1044
 1 Choke Cherry Road
 Rockville, MD **20857**
 ATTN: SPOC – Funding Announcement No. SP 05-002

For other delivery service:

Crystal Saunders, Director of Grant Review
 Office of Program Services
 Substance Abuse and Mental Health Services Administration
 Room 3-1044
 1 Choke Cherry Road
 Rockville, MD **20850**
 ATTN: SPOC – Funding Announcement No. SP 05-002

In addition, community-based, non-governmental service providers who are not transmitting their applications through the State must submit a Public Health System Impact Statement (PHSIS) (approved by OMB under control no. 0920-0428; see burden statement below) to the head(s) of appropriate State or local health agencies in the area(s) to be affected no later than the pertinent receipt date for applications. The PHSIS is intended to keep State and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. State and local governments and Indian tribal government applicants are not subject to these requirements.

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424); and

- a summary of the project, no longer than one page in length, that provides: 1) a description of the population to be served, 2) a summary of the services to be provided, and 3) a description of the coordination planned with appropriate State or local health agencies.

For SAMHSA grants, the appropriate State agencies are the Single State Agencies (SSAs) for substance abuse and mental health. A listing of the SSAs can be found on SAMHSA's web site at www.samhsa.gov. If the proposed project falls within the jurisdiction of more than one State, you should notify all representative SSAs.

Applicants who are not the SSA must include a copy of a letter transmitting the PHSIS to the SSA in **Appendix 3, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: SSA – Funding Announcement No. SP 05-002

For other delivery service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**
ATTN: SSA – Funding Announcement No. SP 05-002

In addition:

- Applicants may request that the SSA send them a copy of any State comments.
- The applicant must notify the SSA within 30 days of receipt of an award.

[Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF 424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).]

5. FUNDING LIMITATIONS/RESTRICTIONS

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents:

- Institutions of Higher Education: OMB Circular A-21
- State, Local , and Native American Tribal Governments:
OMB Circular A-87
- Nonprofit Organizations: OMB Circular A-122
- Appendix E Hospitals: 45 CFR Part 74

In addition, DFSCP grant recipients must comply with the following funding restrictions:

- DFSCP funds must be used for purposes supported by the program.
- No more than 20% of grant funds may be used to fund the provision of on-going direct services.
- DFSCP funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

6. OTHER SUBMISSION REQUIREMENTS

Guidance for Electronic Submission of Applications is contained in Section IV-2.3 of this announcement. Following are instructions for submission of paper applications.

6.1 Where to Send Applications

Send applications to the following address:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**

For other delivery service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**

Do not send applications to other agency contacts, as this could delay receipt. **Be sure to include the funding announcement number (SP 05-002-New or SP 05-002-Renewal) in item number 10 on the face page of the application. If you are a competing renewal applicant, be sure to put your grant number in Block #4, “Federal Identifier”, on the Face Page of your application (i.e., Form SF 424). If you do not know your SAMHSA grant number, you can find it on the DFCSP website (www.dfc.samhsa.gov). If you require a phone number for delivery, you may use (240) 276-1199.**

6.2 How to Send Applications

Guidance for Electronic Submission of Applications is contained in Section IV-2.3 of this announcement. Following are instructions for submission of paper applications.

Mail or deliver an original application and 2 copies (including appendices) to the mailing address provided above, according to the instructions in Section IV-3. The original and copies must not be bound. Do not use staples, paper clips, or fasteners. Nothing should be attached, stapled, folded, or pasted.

Hand carried applications will not be accepted. Applications may be shipped using only DHL, Falcon Carrier, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).

SAMHSA will not accept or consider any applications sent by facsimile.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

Your application will be reviewed and scored according to the quality of your response to the requirements listed below for developing the Project Narrative (Sections A-E). These sections describe what you intend to do with your project.

- In developing the Project Narrative section of your application, use these instructions instead of the “Program Narrative” instructions found in the PHS 5161-1.

- You must use the six sections/headings listed below in developing your Project Narrative. Be sure to place the required information in the correct section, **or it will not be considered**. Your application will be scored according to how well you address the requirements for each section.
- Reviewers will be looking for evidence of cultural competence in each section of the Project Narrative. Points will be assigned based on how well you address the cultural competence aspects of the evaluation criteria. SAMHSA's guidelines for cultural competence can be found on the SAMHSA web site at www.samhsa.gov. Click on "Grants."
- The Supporting Documentation you provide in Sections F-J and Appendices 1-5 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.
- The number of points after each heading below is the maximum number of points a review committee may assign to that section of your Project Narrative. Bullet statements in each section do not have points assigned to them. They are provided to invite the attention of applicants and reviewers to important areas within each section.
- The Project Narrative requirements for the DFCSP grants are built around the five steps of the SPF. This five-step process is known to promote youth development, reduce risk-taking behaviors, building assets and resilience, and prevent problem behaviors across the lifespan. New applicants will be reviewed on the degree to which they have applied the SPF process to their decision-making and program development. Re-competing applicants will be reviewed on their progress in advancing their coalition's strategic plans, objectives, and milestones in accordance with the SPF.

Project Introduction (Unscored - This section will be used to determine eligibility and as context for assessing the remainder of the Project Narrative)

In this section of the Project Narrative, applicants must clearly state the following:

- Project goals that are consistent with and address both goals of the DFCSP, which are to:
 - to reduce substance abuse among youth and, over time, among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse; and
 - to establish and strengthen collaboration among communities, private nonprofit agencies, and Federal, State, local and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth.
- Project Objectives that are: 1) consistent with accomplishing the project goals, 2) measurable and achievable within the proposed project period, and 3) consistent with local problems and needs assessment data. Objectives should be specific, quantifiable, and measured within a specific period of time.

- The logical relationships of proposed goals and objectives to: 1) the risk and protective factors in the community, and 2) to community wide norms and attitudes.
- Measurable and achievable outcomes that will assess changes in behavior over the long term (e.g., 3-5 years).

Section A: Needs Assessment (20 points)

This section of the Project Narrative must provide an initial assessment of the needs in the community and plans for conducting on going environmental scans to accurately assess community needs and resources over the life of the project.

This section must include the following:

- *Initial Needs Assessment:* The initial needs assessment should identify, analyze, and depict the nature and extent of youth drug use in the applicant's community. It should:
 - provide basic demographic information about the community;
 - present specific drug use data and findings regarding the specific types/patterns of substance abuse and related problems being experienced by youth;
 - discuss the consequences of substance abuse in the community;
 - discuss service needs and service availability (including the quality/capacity of existing services);
 - discuss the quality and capacity of existing services;
 - discuss environmental/policy factors that either contribute to or deter substance use and abuse in the community;
 - discuss other risk and protective factors (both individual and environmental) that may contribute to substance use and abuse);
 - identify points/areas of readiness within the community for change.

The initial needs assessment should include findings from community needs assessments, surveys of coalition members, deliberations from town hall meetings, and any other planning tools or processes that were used to define the specific drug-use problems the coalition intends to address with DFCSP grant funds. The applicant should provide baseline data on the four required GPRA measures for the DFCSP. Wherever possible, the applicant should use recent (i.e., within the past 3 years) school-based surveys or other local surveys of drug usage that document the incidence and prevalence of substance abuse problems among youth. If these survey data are not available, the applicant must report data from other sources that relate to youth substance abuse problems. Please cite references to all data sources. Examples of local community data sources include police department arrest records, hospital admissions data, State and county health department substance abuse records, traffic accident records, as well as other similar sources.

- *Plans for On-Going Needs Assessment* – The applicant must provide plans for performing environmental scans on an on-going basis to accurately assess community needs and resources. Specifically, the coalition will be expected to use both quantitative data (surveys, health department data, criminal justice data, etc.) and qualitative data (focus groups, key informant interviews, community forums, etc.) to understand and describe the target community. These on-going assessments should address the same issues described above for the initial needs assessment. The applicant must also provide plans for analyzing the information that has been gathered and begin mapping the strengths and weaknesses of the community regarding substance abuse, including its norms, service delivery systems, and policies and laws. The coalition will identify root causes of problems and develop a model of change to describe how it intends to positively impact these problems among all members of the community. This model of change, also called a logic model, will outline the causal link between planned actions or strategies and desired outcomes.
- *Capability and Experience of the Coalition with regard to Needs Assessment* – The applicant must describe the coalition’s capability and experience in conducting ongoing needs assessment activities, as envisioned for the DFCSP.
- *Competing Renewal* applicants must also describe the results of their needs assessment work to date and how those results have influenced the priorities and decision making of the coalition.

Section B: Capacity Building (20 points)

In this section of the Project Narrative, applicants must describe efforts to engage community stakeholders, recruit and sustain the commitment of coalition members, and build prevention-related and knowledge among its members and within the community.

Specifically, applicants must describe:

- the current substance abuse prevention capacity within the target community,
- how the coalition works with key stakeholders at the community level,
- how the coalition plans over time to engage key stakeholders to plan and implement prevention interventions in order to build greater prevention capacity as well as to sustain interventions,
- the capability and experience of the coalition with regard to capacity building activities, and,
- plans to maintain and strengthen the coalition over the course of the grant. (These activities may include plans to expand the number of members and the type of sectors represented on the coalition, increase the visibility and influence of the coalition on matters relevant to the prevention and reduction of substance use and abuse, and/or efforts to educate and mobilize individual members and the coalition at large, in order to work for positive change in the community.)

Competing Renewal applicants must also describe progress in increasing the prevention capacity within the community to date.

Section C: Planning (25 points)

In this section of the Project Narratives, applicants will present their strategic plans, as follows:

- *New Applicants* - In this section, new applicants must present a preliminary strategic plan for the coalition and document the capability and experience of the coalition with regard to strategic planning.
- *Competing Renewal* applicants must submit a revised strategic plan (relative to the plan presented in the previous application), describing changes and modifications that have been made, as well as progress that the coalition has made in implementing the elements of their plan. Competing renewal applicants must also document the capability and experience of the coalition with regard to strategic planning.

Strategic plans presented by all applicants must meet the following requirements:

- The strategic plan must define the coalition's prevention priorities and objectives and organize those objectives into a strategy. Applicants must describe how the strategic plan will:
 - Address the needs that have been documented;
 - build on identified resources, strengths and capacity, and
 - address multiple causes of identified problems in multiple community sectors.
- The Strategic Plan must include measurable objectives and include the performance measures and baseline data against which progress will be monitored. Required performance measures are described in Section I-5 on page 5 of this announcement.
- The Strategic Plan must identify a set of activities most likely to positively affect identified community problems. These activities must include policies, programs, strategies and practices that have been shown to be effective in research settings and/or communities. In addition, they must address a wide array of prevention interventions and approaches, and not be limited to a single drug or target audience.
- The strategic plan must include milestones and timelines for implementing those activities as a means of focusing and coordinating the efforts of the coalition. It must also identify the sector within the coalition that is responsible for addressing each milestone. The coalition will use these milestones as a method of monitoring and evaluating the effectiveness of the coalition in meeting its objectives.
- The Strategic Plan must include a plan to promote and sustain the effective policies, programs and practices advanced by the coalition. The applicant will need to ensure that the sustainability plan:
 - identifies specific strategies to be sustained;
 - identifies the money, time, technology, talent, etc. required to sustain those strategies;

- describes sustainability strategies and the individuals and/or organizations who will assume responsibility for implementing those strategies; and
 - includes plans to solicit substantial financial support from non-Federal sources to ensure that the project will be self-sustaining when Federal assistance is no longer available.
- The Strategic Plan will need to present an approach that is flexible enough to adapt to new and/or unforeseen information and events.

Section D: Implementation (20 Points)

In this section, applicants must present plans for implementing the proposed DFCSP project. A logic model to support these plans must be provided in “Appendix 5-Coalition Logic Model” in the application.

The narrative for Section D: Implementation must specifically:

- Provide a narrative description of plans for implementing the DFCSP project that meet the following requirements:
 - Responsibility for implementing chosen policies, programs and practice must be diffused among coalition members and their agencies, with paid coalition staff playing a coordinating and supportive role, rather than directly implementing strategies themselves.
 - SAMHSA and ONDCP do not expect community coalitions to operate direct service programs. No more than 20% of the grant funds may be used to fund the provision of on-going direct services.
 - Cultural competence must be addressed in all activities implemented.
- Provide a realistic time line for the project (a chart or graph) showing key activities, milestones, and responsible staff. Include a detailed time line for year 1 of the project, and a timeline for subsequent years that focuses on major milestones/activities. [Note: The time line should be part of the Project Narrative. It should not be placed in an appendix.]
- Describe the applicant coalition’s capability and experience in planning or coordinating programs, policies, practices and strategies to prevent substance abuse at the community level.
- Provide a list of staff who will participate in the project, showing the role of each and their level of effort and qualifications. Include the Project Director and other key personnel, such as the evaluator and treatment/prevention personnel.
- Indicate if the staffing pattern includes bilingual and bicultural individuals, if the target population is multi-linguistic.
- Describe the resources available for the proposed project (e.g., facilities, equipment).

Competing Renewal applicants must also describe their progress in implementing their Strategic Plan, describe their success and obstacles, and address their efforts to overcome these obstacles.

Section E: Evaluation (15 points)

In this section, applicants must describe their plans for ongoing monitoring and evaluation of the project, including both process and outcome evaluation to determine whether desired outcomes have been achieved and assess the effectiveness of the coalition and of its initiatives.

Specifically, applicants must:

- Document the capability and experience of the coalition in conducting data collection and evaluation activities.
- Identify the outcome measures that, in addition to the required performance measures, will be used to measure progress in addressing the goals and objectives for the proposed DFCSP project.
- Document their ability to collect and report on the required performance measures as well as any additional measures identified.
- Describe plans for data collection, management, and reporting. Describe the existing approach to the collection of data, along with any necessary modifications. Include data collection instruments/interview protocols in **Appendix 1**.
- Discuss the reliability and validity of evaluation methods and instruments(s) in terms of the gender/age/culture of the target population.
- Identify the specific questions to be answered through the evaluation and connect data elements to each question. Describe how the data will be analyzed.
- Describe how collection, analysis and reporting of performance data will be integrated into the evaluation activities.
- Describe how data collected from the evaluation will influence the direction and decision-making of the coalition.
- Explain how evaluation results will be communicated to the community.
- State explicitly that the applicant will participate in the national evaluation of the DFCSP.

Competing Renewal applicants must also describe their progress in implementing their evaluation activities to date, including the results and findings that have been drawn from their evaluation efforts, and how those results and findings have been used by the coalition.

2. REVIEW AND SELECTION PROCESS

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by peer reviewers and, when appropriate, approved by the appropriate National Advisory Council;
- availability of funds;
- equitable distribution of awards in terms of geography (including urban, rural and remote settings) and balance among target populations and program size.

Priority will be given to applications from coalitions that target economically disadvantaged areas (i.e., counties in which 20% or more of the children below the age of 18 are living in a household below the poverty line, as defined by the U.S. Census Bureau). SAMHSA will consider information provided in the Project Information Summary in determining whether or not an application falls within this category.

After applying the aforementioned criteria, the following method will be used for breaking ties: When funds are not available to fund all applications with identical scores, SAMHSA will make award decisions based on the application(s) that received the greatest number of points by peer reviewers on the evaluation criterion in Section V-1 with the highest number of possible points (Planning - 25 points). Should a tie still exist, the score on Section A – Needs Assessment (20 points) will be used, followed by the score on Section B – Capacity (20 points).

VI. AWARD ADMINISTRATION INFORMATION

1. AWARD NOTICES

After your application has been reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review.

If you are approved for funding, you will receive an **additional** notice, the Notice of Grant Award, signed by SAMHSA's Grants Management Officer. The Notice of Grant Award is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project. It is sent by postal mail and is addressed to the contact person listed on the face page of the application.

If you are not funded, you can re-apply if there is another receipt date for the program.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

2.1 General Requirements

- You must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA web site at: www.samhsa.gov/grants/generalinfo/useful_info.aspx.

- Additional terms and conditions may be negotiated with the grantee prior to grant award. These may include:
 - actions required to be in compliance with human subjects requirements;
 - requirements relating to additional data collection and reporting;
 - requirements relating to participation in a cross-site evaluation; or
 - requirements to address problems identified in review of the application.
- You will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services “Survey on Ensuring Equal Opportunity for Applicants.” This survey is included in the application kit for SAMHSA grants. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form.

3. REPORTING REQUIREMENTS

3.1 Progress and Financial Reports

- Grantees must provide quarterly progress reports (i.e., four reports per year) and a final progress report. The final progress report must summarize information from all previous reports, describe the accomplishments of the project, and describe next steps for implementing the plans that were developed during the grant period.
- Grantees must provide annual and final financial status reports. These reports may be included as separate sections of annual and final progress reports or can be separate documents. Because SAMHSA is extremely interested in ensuring that DFCSP efforts can be sustained, your financial reports must explain plans to ensure the sustainability of efforts initiated under this grant. Initial plans for sustainability should be described in year 1 of the grant. In each subsequent year, you should describe the status of the project, successes achieved and obstacles encountered in that year.
- SAMHSA will provide guidelines and requirements for these reports to grantees at the time of award and at the initial grantee orientation meeting after award. SAMHSA staff will use the information contained in the reports to determine the grantee’s progress toward meeting its goals.

3.2 Government Performance and Results Act

The Government Performance and Results Act (GPRA) mandates that Federal agencies be accountable for meeting accountability and performance-based management measures. To meet

the GPRA requirements, SAMHSA must collect performance data (i.e., “GPRA data”) from grantees. These requirements are specified in Section I of this funding announcement.

3.3 Sustainability

If you are funded under this grant program, you will be required to submit a comprehensive sustainability plan, including budget, in year 7 of funding. The narrative portion of the sustainability plan will articulate how the community will ensure the continuation of effective policies, programs, and practices when Federal assistance is no longer available. The plan will identify specific strategies to be sustained; identify the money, time, technology, and talent required to sustain those strategies; identify the individuals and/or organizations who will assume responsibility for sustaining those strategies; and include specific plans to solicit substantial financial support from non-Federal sources to demonstrate that the project will be self-sustaining when Federal assistance is no longer available.

Grantees will submit a budget along with their plan that shows a logical strategy for ending dependence on DFC funds. The budget must provide a realistic approach for securing the resources necessary to continue the work that they have undertaken through the DFC program. The budget must include a proposed financial plan for years eight through eleven that indicates zero DFC funds in year eleven.

3.4 Publications

If you are funded under this grant program, you are required to notify the Government Project Officer (GPO) and SAMHSA’s Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded project that are accepted for publication.

In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.
- Include acknowledgment of the SAMHSA grant program as the source of funding for the project.
- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA or the U.S. Department of Health and Human Services, and should not be construed as such.

SAMHSA reserves the right to issue a press release about any publication deemed by SAMHSA to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

VII. AGENCY CONTACTS

For questions regarding program issues, contact:

Mike Lowther
Center for Substance Abuse Prevention
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Rd., 4th Floor
Rockville, MD 20857
240-276-2581
mike.lowther@samhsa.hhs.gov

For questions on grants management issues, contact:

Kimberly Pendleton
Office of Program Services, Division of Grants Management
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 7-1097
Rockville, Maryland 20857
(240) 276-1421
kimberly.pendleton@samhsa.hhs.gov

Appendix A – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications

*SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **If you do not adhere to these requirements, your application will be screened out and returned to you without review.** In addition to these formatting requirements, programmatic requirements (e.g., relating to eligibility) may be stated in the specific GFA and in Section III of the standard grant announcement. Please check the entire GFA and Section III of the standard grant announcement before preparing your application.*

For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications")

- ☐ Use the PHS 5161-1 application.
- ☐ Applications must be received by the application deadline or have proof of timely submission, as detailed in Section IV-3 of the grant announcement.
- ☐ Information provided must be sufficient for review.
- ☐ Text must be legible. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications.")
 - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
 - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- ☐ Paper must be white paper and 8.5 inches by 11.0 inches in size.
- ☐ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications.")
 - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the page limit for the Project Narrative stated in the specific funding announcement.
 - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by the page limit. This number represents the full page less margins, multiplied by the total number of allowed pages.

- Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines may not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.

- ☐ The following 10 application components required for SAMHSA applications should be included:

- Face Page (Standard Form 424, which is in PHS 5161-1)
- Abstract
- Table of Contents
- Budget Form (Standard Form 424A, which is in PHS 5161-1)
- Project Narrative and Supporting Documentation
- Appendices
- Assurances (Standard Form 424B, which is in PHS 5161-1)
- Certifications (a form within PHS 5161-1)
- Disclosure of Lobbying Activities (Standard Form LLL, which is in PHS 5161-1)
- Checklist (a form in PHS 5161-1)

- ☐ Applications should comply with the following requirements:

- Provisions relating to confidentiality, participant protection and the protection of human subjects specified in Section IV-2.4 of the FY 2005 standard funding announcements;
- Budgetary limitations as specified in Section I, II, and IV-5 of the FY 2005 standard funding announcements; and
- Documentation of nonprofit status as required in the PHS 5161-1.

- ☐ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.

Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.

- ☐ The page limits for Appendices stated in the specific funding announcement should not be exceeded.
- ☐ Send the original application and two copies to the mailing address in the funding announcement. Please do not use staples, paper clips, and fasteners. Nothing should be

attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

Appendix B – Sample Program Abstract

Applicants are required to include a program abstract in their applications. The abstract must not exceed 35 lines and should provide the information requested in the following template:

The **[insert coalition name]** serves **[identify and describe the target area and population served by the coalition.]** The goals of the program are to **[enumerate the goals.]** To achieve these goals, the coalition will implement the following strategies: **[enumerate the goals.]**

A sample program abstract is presented below:

The ABC Coalition serves Eastern County, VT, a rural area with a population of 22,000, which is 7 percent Native American. The goals of the program are to: 1) intervene with younger children to prevent or delay first use of alcohol, tobacco, and other drugs; 2) develop effective community responses to youth alcohol, tobacco, and drug use; and 3) enhance efforts to address the specific problem of underage drinking by Eastern County youth. To achieve these goals, the coalition will implement the following strategies: 1) develop a 2-year countywide youth risk prevention action plan for interagency collaboration and community action; 2) establish a media campaign to increase awareness of youth drug problems; and 3) sponsor training for law enforcement officers who respond to underage drinking parties.

Appendix C – Sample Coalition Roster

Applicants are required to include a roster of coalition members as part of Appendix 5 (Coalition Supporting Documentation) of their DFCSP applications. (See Section III, Eligibility on page 9 of this announcement for a list of the required sectors that must be represented in the coalition.) To facilitate review of applications, SAMHSA and ONDCP recommend that rosters be submitted with the information as shown in the following sample.

Member Name	Organization	Contribution	Sector Represented
Gwen Doe	Anytown School Principal	school programming	School
Mark Smith	Dept. of Human Svcs.	attendance/TANF	State agency
Patrick Jones	County State’s Attorney’s Office	ATOD casework	Law Enforcement
Cassandra White	City Park & Recreation	city services directory	Youth Services
Kim Black	Parent	community newsletter	Parent
Preeti Brown	Anytown Bank	advertising support	Business
Linda Green	WABC News	media campaign	Media
Darlene Silver	Anytown Synagogue	faith/religious network	Religious ¹
Tim Benson	Anytown Rotary Club	local resource	Civic ²
Kristie Jackson	Anytown MH Hospital	mental health services	Healthcare
Laura Stone	Anytown Hospital	treatment services	Other
Shauna Martin	Anytown High School Student	youth survey interviewer	Youth

¹ Please note that the eligibility requirements (see page 9) mandate that the coalition include at least one member/representative from “religious or fraternal organizations.” In this sample, that requirement is fulfilled by a representative from a religious organization.

² Please note that the eligibility requirements (see page 9) mandate that the coalition include at least one member/representative from “civic and volunteer groups.” In this sample, that requirement is fulfilled by a representative from a civic organization.

Appendix D - Sample Budget and Justification

ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION FOR COMPLETING SF 424A: SECTION B FOR 01 BUDGET PERIOD

(Sample for 1st year of the funding cycle)

A. Personnel: an employee of the applying agency whose work is tied to the application

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Executive Director	John Doe	\$64,890	10%	\$6,489
Coordinator	To be selected	\$46,276	100%	\$46,276
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The coordinator will coordinate coalition services and project activities, including training, coalition communication, data collection and dissemination.

NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Executive Director	John Doe	\$64,890	7%	\$4,542
Development Specialist	Sarah Smith	\$26,000	25%	\$6,500
Peer Helper	Ron Jones	\$23,000	40%	\$9,200
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$21,580

JUSTIFICATION: Describe the role and responsibilities of each position.

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The development specialist will provide staffing support to the working council. The peer helper will be responsible for peer recruitment, coordination and support. The clerical support will process paperwork, payroll, and expense reports.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A)

\$52,765

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A)

\$21,580

B. Fringe Benefits: List all components of fringe benefits rate

FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$21,580	\$1,651
Workers Compensation	2.5%	\$21,580	\$ 540
Insurance	10.5%	\$21,580	\$2,266
		TOTAL	\$4,457

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A)

\$10,896

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A)

\$4,457

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
Grantee Meeting	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$180/night x 2 persons x 2 nights	\$720
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$2,444

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

The grant requires travel of two members to attend the grantee meeting in Washington. Airline costs were suggested retail price as of March 8, 2005. Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on agency's personally owned vehicle (POV) reimbursement rate.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 2 persons	\$300
		Hotel	\$155/night x 2 persons x 2 nights	\$620
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
Local Travel	Outreach workshops	Mileage	350 miles x .38/mile	\$133
			TOTAL	\$1,237

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

Coalition agencies will provide funding for two members to attend the regional technical assistance workshop (our closest location is Chicago, IL). Airline costs were suggested retail price as of March 8, 2005. Local travel rate is based on agency's POV reimbursement rate.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A) **\$2,444**

NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$1,237**

D. Equipment: an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit – federal definition.

FEDERAL REQUEST – (enter in Section B column 1 line 6d of form SF424A) **\$ 0**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$ 0**

E. Supplies: materials costing less than \$5,000 per unit and often having one-time use

FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
TOTAL		\$3,796

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

Office supplies, copies and postage are needed for general operation of the project. The laptop computer is needed for both coalition work and presentations. Currently, there are not computers available for the coordinator to use. The projector is needed for presentations and outreach workshops. All costs were based on retail values at the time the application was written.

NON-FEDERAL MATCH

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Bookcase	\$75	\$75
Digital camera	\$300	\$300
Fax machine	\$150	\$150
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
TOTAL		\$1,773

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

The local television station is donating the bookcase, camera, fax machine, and computer. The “applying agency” is donating the additional costs for office supplies and postage.

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF424A)

\$ 3,796

NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A)

\$ 1,773

F. Contract: generally amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

FEDERAL REQUEST (Consultant)

Name	Service	Rate	Other	Cost
To be selected	Coalition Sustainability	\$150/day	15 days	\$2,250
	Travel	.38/mile	360 miles	\$137
			TOTAL	\$2,387

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

This person will advise staff and coalition members of ways to maintain, increase membership, and sustain the local coalition. Neither staff nor coalition members possess the skills needed to begin a sustainability plan as required with the grant. The rate is based on the average consulting rate in this area. Consultant is expected to make up to 6 trips (each trip a total of 60 miles) to meet with staff and the coalition. Mileage rate is based on POV reimbursement rate. A request for proposal will be issued to secure a competitive bid before final selection is made.

FEDERAL REQUEST (Contract)

Entity	Product/Service	Cost
To be selected	1.5 minute Public Service Announcement (PSA)	\$2,300
To be selected	Evaluation Report	\$4,500
	TOTAL	\$6,800

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

A local media outlet will produce a 1.5-minute PSA from the youth drug awareness video for the local television market. Tasks will include cutting and editing the tape, preparing introductory statement, inserting music and/or narrative, and synchronizing the sound track. A local evaluation specialist will be contracted to produce the year-end results of the coalition efforts. A request for proposal will be issued to secure a competitive bid before final selection is made.

NON-FEDERAL MATCH (Consultant)

Name	Service	Rate	Other	Cost
Coalition members	Outreach meeting facilitation	\$17.5/hour	6 members x \$17.50 x 20 hr./mo. x 12 mo.	\$25,200
	Travel Expenses	.38/mile	12 members x 148 miles x .38/mile	\$675
			TOTAL	\$25,875

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

Twelve (12) coalition members are volunteering their time to facilitate the youth prevention and outreach sessions outlined in the strategic plan. Hourly rate is based on average salaries of the volunteers. Travel is based on average distance between volunteer's location and the meeting sites. Mileage rate is based on POV reimbursement rate.

NON-FEDERAL MATCH (Contract)

Entity	Product/Service	Cost
West Bank School District	Student Assistance Program	\$15,000
	TOTAL	\$15,000

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

West Bank School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person. (MOU attached to application)

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) **\$ 9,187**
(combine the total of consultant and contract)

NON-FEDERAL MATCH – (enter in Section B column 2 line 6f of form SF424A) **\$ 40,875**
(combine the total of consultant and contract)

G. Construction: NOT ALLOWED – Leave Section B columns 1&2 line 6g on SF424A blank.

H. Other: expenses not covered in any of the previous budget categories

FEDERAL REQUEST

Item	Rate	Cost
Rent	\$15/sq.ft x 700 sq. feet	\$10,500
Telephone	\$100/mo. x 12 mo.	\$1,200
Student Surveys	\$1/survey x 2784	\$2,784
Brochures	.89/brochure X 1500 brochures	\$1,335
	TOTAL	\$15,819

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

Rent and telephone will be used to operate the project. Monthly telephone costs reflects the % of effort for the personnel listed in this application. Survey copyright requires the purchase of the ATOD surveys. Brochures will be used at various community functions (health fairs and exhibits).

NON-FEDERAL MATCH

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Television time	\$250/spot x 50 spots	\$12,500
Food and beverages	\$2.50/meeting x 40 attendees x 3 meetings	\$300
Internet services	\$26/mo. x 12 mo.	\$312
Student surveys	\$1/survey x 1583 surveys	\$1,583
Printing	\$300/run x 6 runs	\$1,800
	TOTAL	\$27,995

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

Various coalition and community organizations donate space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes. The prices range from \$75/event for the West Bank School District to over \$300/event for the Holiday Inn. The local ACME market is donating the food for three meetings. The local television station is donating airtime for the PSA (MOU attached to application). The applying agency is donating the internet services for the full-time coordinator. The West Bank School District is donating the cost of 1,583 student surveys. All costs are the value placed on the service at the time of this grant application. A coalition member is donating the printing for the bi-monthly newsletter.

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) **\$ 15,819**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6h of form SF424A) **\$ 27,995**

Indirect cost rate: If your organization has no indirect cost rate, indicate if you intend to waive the indirect costs or negotiate and establish an indirect costs rate with DHHS within 90 days of award issuance, if the grant is awarded. For information on applying for the indirect rate go to: samhsa.gov then click on grants – grants management – HHS Division of Cost Allocation – Regional Offices.

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$63,661) **\$5,093**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$26,037) **\$2,083**

The indirect costs rate was approved by the Dept. of Health and Human Services in 200X. A copy of the fully executed, negotiated, indirect cost agreement is attached.

BUDGET SUMMARY:

Category	Federal Request	Non-Federal Match	Total
Personnel	\$52,765	\$21,580	\$74,345
Fringe	\$10,896	\$4,457	\$15,353
Travel	\$2,444	\$1,237	\$3,681
Equipment	0	0	0
Supplies	\$3,796	\$1,773	\$5,569
Contractual	\$9,187	\$40,875	\$50,062
Other	\$15,819	\$27,995	\$43,814
Total Direct Costs*	\$94,907	\$97,917	\$192,824
Indirect Costs	\$5,093	\$2,083	\$7,176
Total Project Costs	\$100,000	\$100,000	\$200,000

*** TOTAL DIRECT COSTS:**

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$94,907**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6i of form SF424A) **\$97,917**

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$100,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A) **\$100,000**

CALCULATION OF FUTURE BUDGET PERIODS

(based on first 12-month budget period)
(Sample for grants in the first 5-year funding cycle)

Input, review and verify the accuracy of your future years budget estimates. Increases or decreases in the future years must be explained and justified.

If this is a new DFCSP application complete the budget for the 2nd through the 5th project year.

If this is a renewal application complete the budget for the remaining year(s) of the project. Show estimated federal request and non-federal match – as required.

Total federal share is not to exceed \$100,000 in any year.

Category	2 nd project year		3 rd project year		4 th project year		5 th project year	
	Federal	Match	Federal	Match	Federal	Match	Federal	Match
Personnel								
- Executive Director	\$6,489	\$4,542	\$6,489	\$4,542	\$6,489	\$4,542	\$6,489	\$4,542
- Coordinator	\$46,276		\$46,276		\$46,276		\$46,276	
- Development Specialist		\$6,240		\$6,240		\$6,240		\$6,240
- Peer Helper		\$9,200		\$9,200		\$9,200		\$9,200
- Clerical Support		\$1,596		\$1,596		\$1,596		\$1,596
TOTAL	\$52,765	\$21,578	\$52,765	\$21,578	\$52,765	\$21,578	\$52,765	\$21,578
Fringe Benefits	\$10,896	\$4,457	\$10,896	\$4,457	\$10,896	\$4,457	\$10,896	\$4,457
Travel	\$2,548	\$1,237	\$2,548		\$2,548		\$2,548	
Equipment								
Supplies	\$4,796	\$1,773	\$4,796	\$1,773	\$4,796	\$1,773	\$4,796	\$1,773
Contract								
- Evaluation	\$4,500		\$4,500		\$4,500		\$4,500	
- Public Awareness	\$2,300		\$2,300	\$2,300	\$2,300	\$2,300	\$2,300	\$2,300
- West Bank School Dist.		\$15,000		\$15,000		\$15,000		\$15,000
- Consultant	\$2,387							
- Coalition members		\$25,875		\$37,800		\$37,800		\$42,000
TOTAL	\$9,187	\$40,875	\$6,800	\$55,100	\$6,800	\$55,100	\$6,800	\$59,300
Other	\$14,715	\$27,997	\$17,102	\$15,009	\$17,102	\$15,009	\$17,102	\$10,809
Total Direct Costs	\$94,907	\$97,917	\$94,907	\$97,917	\$94,907	\$97,917	\$94,907	\$97,917
Total Indirect Costs	\$5,093	\$2,083	\$5,093	\$2,083	\$5,093	\$2,083	\$5,093	\$2,083
Total Costs	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000

Personnel: Percentage of effort to remain the same

Fringe: Based on current rates

Travel: Based on POV rate for current year and anticipated training requirements

Supplies: Based on projected needs and retail costs for current year

Contract: Based on current year costs

It is anticipated that the Coalition members serving the youth programs will increase

Other: Rent will increase \$1.00/square foot in 2nd year of project per lease. All other costs are based on current expenses.

Indirect Costs: Based on current negotiated rate

The Federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i. The total Federal Dollars requested for the second through the fifth 12-month budget periods are entered on Form 424A, Section E, Columns (b) – (e), line 20.